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PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

17

Application Number

10/099,875

Filing Date

March 15, 2002

First Named Inventor

Qian Yu

Group Art Unit

2633

Examiner Name

Not Yet Assigned

Attorney Docket Number

51519-P001US-10203244

## ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment/Reply

☐ After Final

☐ Affidavits/declaration(s)

☒ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☒ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional  
Application

☒ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication  
to Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)  
(please identify below)

Declaration  
Application Data Sheet

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual Name

FULBRIGHT & JAWORSKI L.L.P.  
William B. Tiffany, Reg. No. 41,347

Signature

*William B. Tiffany*

Date

August 2, 2002

### Transmittal

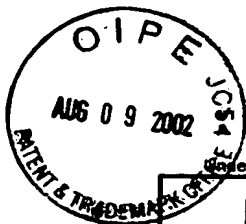
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: August 2, 2002

Signature: *Joy H. Perigo*

(Joy H. Perigo)

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PTO/SB/17 (11-01)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# **FEE TRANSMITTAL** **for FY 2002**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 695.00

## **Complete if Known**

Application Number 10/099,875  
Filing Date March 15, 2002  
First Named Inventor Qian Yu  
Examiner Name Not Yet Assigned  
Group Art Unit N/A  
Attorney Docket No. 51519-P001US-10203244

## **METHOD OF PAYMENT (check all that apply)**

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit Account Number 06-2380  
Deposit Account Name Fulbright & Jaworski L.L.P.

The Commissioner is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>					370.00

### **2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims 22 -20\*\* = 2 x 9.00 = 18.00  
Independent Claims 4 -3\*\* = 1 x 42.00 = 42.00  
Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2) (\$)</b>					60.00

\*\*or number previously paid, if greater; For Reissues, see above

## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	200.00
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
<b>*Reduced by Basic Filing Fee Paid</b>					
<b>SUBTOTAL (3) (\$)</b>					265.00

## **SUBMITTED BY**

Name (Print/Type) William B. Tiffany

Registration No. 41,347  
(Attorney/Agent)

## **Complete (if applicable)**

Telephone (214) 855-8204

Signature

*William B. Tiffany*

Date

August 2, 2002

## **Fee Transmittal**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20531, on the date shown below.

Dated: August 2, 2002

Signature:

*Joy H. Perigo*

(Joy H. Perigo)



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Qian Yu, et al.

Application No./Patent No.: 10/099,875

Filed/Issue Date: March 15, 2002

Entitled: MONITORING AND IN-LINE COMPENSATION OF POLARIZATION DEPENDENT LOSS FOR LIGHTWAVE SYSTEMS

University of Southern California (LA)  
(Name of Assignee)

, a University  
Type of Assignee, e.g., corporation, partnership, university, government agency, etc.

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 0.0 %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.  
**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

August 2, 2002  
Date

William B. Tiffany, Reg. No. 41,347  
Typed or printed name

William B. Tiffany  
Signature

Patent Agent  
Title

**Statement By Assignee to Establish Ownership (37 CFR 3.73(b))**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: August 2, 2002

Signature: Joy H. Perigo

(Joy H. Perigo)

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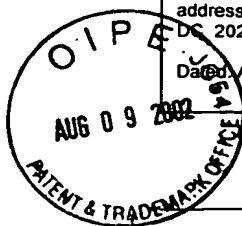
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Date: August 2, 2002

Signature:

(Joy H. Perico)

Docket No.: 51519-P001US-10203244  
(PATENT)



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Qian Yu, et al.

Application No.: 10/099,875

Group Art Unit: 2633

Filed: March 15, 2002

Examiner: Not Yet Assigned

For: MONITORING AND IN-LINE  
COMPENSATION OF POLARIZATION  
DEPENDENT LOSS FOR LIGHTWAVE  
SYSTEMS

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

**Box Missing Parts**  
Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed April 8, 2002, Applicant respectfully submits a Declaration, a Power of Attorney, and a Filing Fee for the Application (as shown on accompanying Fee Transmittal).

Our check in the amount of \$695.00 covering the fee set forth in 37 CFR 1.16(e), the filing fee for the subject application, is enclosed. The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed

Application No.: 10/099,875

Docket No.: 51519-P001US-10203244

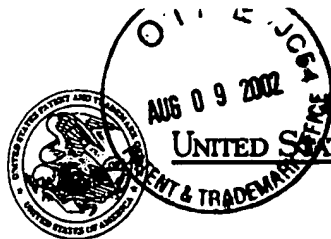
herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 06-2380, under Order No. 51519-P001US-10203244. A duplicate copy of this paper is enclosed.

Dated: August 2, 2002

Respectfully submitted,

By William B. Tiffany  
William B. Tiffany  
Registration No.: 41,347  
FULBRIGHT & JAWORSKI L.L.P.  
2200 Ross Avenue  
Suite 2800  
Dallas, Texas 75201  
(214) 855-8204  
(214) 855-8200 (Fax)  
Attorneys for Applicant

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## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/099,875	03/15/2002	Qian Yu	51519-P001US

CONFIRMATION NO. 5395

## FORMALITIES LETTER



\*OC000000007809223\*

 FULBRIGHT & JAWORSKI L.L.P.  
 William B. Tiffany  
 Suite 2800  
 2200 Ross Avenue  
 Dallas, TX 75201

Date Mailed: 04/08/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/12/2002 AOSMAN1 00000045 10099875

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:202	42.00 OP
03 FC:203	18.00 OP
04 FC:205	65.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$120.
  - \$36 for 2 total claims over 20.
  - \$84 for 1 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 990.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE